

DEPARTMENT OF NATURAL RESOURCES

HUMAN RESOURCES POLICY NO: 24

EFFECTIVE DATE: July 1, 2012

SUBJECT: Performance Evaluation System

AUTHORIZATION: Chapter 10 of the Civil Service Rules

I. POLICY:

To provide a work environment which fosters, develops and enhances communication and feedback between employees and supervisors by ensuring that expectations and evaluations are communicated uniformly and timely each year. A successful performance evaluation system is the vehicle to achieving the Department's goals and mission through highly motivated employees.

II. PURPOSE:

The purpose of this policy is to confirm DNR's support of the Civil Service Performance Evaluation System (PES) described in Chapter 10 of the Civil Service Rules and our expectation that supervisors seriously consider their responsibilities under the system. DNR expects supervisors to communicate expectations and evaluate all classified employees serving in any capacity in the Department and to minimize the number of "Unrated" ratings.

III. APPLICABILITY:

This policy applies to all classified employees and any unclassified employees who supervise classified employees serving in a restricted, job appointment, probationary or permanent capacity in the Department of Natural Resources.

IV. PROCEDURES:

1. Both classified and unclassified supervisors are to comply with the requirements of the Civil Service Performance Evaluation and Planning rules to plan, document, evaluate, and rate the performance of their employees in accordance with Chapter 10 of the Civil Service Rules.
2. All classified state supervisors are required to complete the following online PES courses: CPTP PES Basics, CPTP PES Planning Process, and CPTP PES Evaluation Process. All courses shall be completed within 90 days of hire or promotion/appointment to a supervisory position. Employees in supervisory positions on the effective date of this policy shall complete the training no later than December 31, 2012 or within 90 days (whichever is later).

3. The evaluating supervisor shall be responsible for administering the performance evaluation system for his designated employees in accordance with the Civil Service Rules and this policy. An evaluating supervisor who fails to administer the performance evaluation system in accordance with these rules shall not be eligible for a performance adjustment for that year.
4. Names of evaluating supervisors who failed to rate employees in accordance with the requirements of this policy will be forwarded to the Appointing Authority for further action, which will include the issuance of a letter of counseling by the Appointing Authority to the rating supervisor. Continued failure of a rating supervisor to perform his PES duties satisfactorily will result in disciplinary action.
5. If a supervisor has any difficulty, for whatever reason, in completing a timely review of an employee under his supervision, he is to seek the assistance of his immediate supervisor to facilitate the rating.

V. PERFORMANCE EVALUATION SYSTEM REQUIRED COMPONENTS

1. Performance Plan and Planning Session
 - (a) The evaluating supervisor shall prepare a performance plan at the beginning of each evaluation period, generally between July 1 and September 30 of each year. The performance plan shall list work tasks and behavior standards on which the employee's overall performance will be evaluated. These shall be recorded on the planning and evaluation form.
 - (b) The evaluating supervisor shall obtain the second level evaluator's signature approval of the performance plan on the performance planning and evaluation form prior to presenting it to the employee.
 - (c) The evaluating supervisor will conduct a performance planning session with the employee.
 - (d) During the planning session, the evaluating supervisor shall present the form to the employee and discuss the performance work tasks and behavior standards on which he will be evaluated and the performance that will be expected of him during the coming evaluation period.
 - (e) The evaluating supervisor and the employee shall sign and date the form. The employee shall be given a copy of the form, the supervisor will retain a copy of the form and forward the original to Human Resources. Should the employee decline to sign the planning and evaluation form, the evaluating supervisor shall note this on the form and record the date that the planning session occurred. An employee cannot prevent the planning session from becoming official by refusing to sign the form.
 - (f) Planning sessions **shall** be conducted during the first three (3) calendar months following:

- 1) the appointment of a new employee;
- 2) the permanent movement of an employee into a position having a different position number with **significantly different duties**;
- 3) the beginning of the new performance evaluation year (no later than 9/30).

(g) A performance planning session may be conducted when:

- 1) the employee gets a new evaluating supervisor,
- 2) performance expectations change, or
- 3) the evaluating supervisor deems a performance planning session is appropriate.

2. Continuous Review

Throughout the rating year, the evaluating supervisor shall continuously review the performance of the employee(s) he/she supervises, documenting both satisfactory and unsatisfactory performance. Lines of communication between the supervisor and the employee regarding performance should remain open.

3. Official Performance Evaluations and Evaluation Sessions

- (a) The performance evaluation year shall be July 1 through June 30 of each year. Official performance evaluations are required for all classified employees. The evaluating supervisor shall base the official evaluation of the employee's performance on the work tasks and behavior standards as stated on the performance planning and evaluation form.
- (b) Official evaluations shall be made after the performance year has ended and must be rendered during the period July 1 through August 31. All official overall evaluations will be recorded with an effective date of July 1.
- (c) Evaluations become official on the date they are rendered. No evaluations shall be rendered after August 31. To render an official evaluation, the evaluating supervisor shall:
 - 1) complete a performance evaluation form on the evaluated employee timely and sufficiently,
 - 2) provide documentation to support an evaluation of "Needs Improvement/ Unsuccessful" or "Exceptional",
 - 3) obtain the second level evaluator's signed approval of the evaluation form prior to discussing with the employee,
 - 4) discuss the evaluation with the employee and present the evaluation form to the employee to be signed and dated, and
 - 5) give the employee a copy of the evaluation form with his official overall evaluation noted.

- (d) The evaluating supervisor shall assign one of the three evaluations listed below to the employee's overall performance and individual tasks.
 - 1) **Exceptional:** Work and behavior consistently exceeded the performance criteria;
 - 2) **Successful:** Work and behavior met the performance criteria;
 - 3) **Needs Improvement/Unsuccessful:** Work and/or behavior did not meet the performance criteria.
- (e) The evaluating supervisor, with Appointing Authority approval, may elect to assign an employee who has worked less than three calendar months within the performance evaluation year a default overall evaluation of 'Not Evaluated'. An overall evaluation of 'Not Evaluated' shall have the same effect as an evaluation of 'Successful'.
- (f) When an employee is not available, the provisions of this policy shall be satisfied when notification to the employee is made by mail. The notification shall be deemed timely if it was mailed to the employee's most recent address on or before August 31, as evidenced by official proof of mailing. Documentation must be maintained that the employee was notified on or before August 31.
- (g) Should the employee decline to sign the performance evaluation form, the evaluating supervisor shall note this on the form and record the date that the evaluation session occurred. An employee cannot prevent the evaluation from becoming official by refusing to sign the form.
- (h) An evaluation that is in violation of these rules shall receive an overall evaluation of 'Unrated', and shall have the same effect as an evaluation of 'Successful'. The employee shall be notified when he has been assigned an evaluation of 'Unrated'.

4. Agency Review

- (a) A permanent employee who receives an overall performance evaluation of "Unrated" or "Needs Improvement/Unsuccessful" may request an official review of that evaluation by an agency reviewer(s).
- (b) The Appointing Authority shall designate the agency reviewer(s). The reviewer(s) shall not be either the evaluating supervisor or the second level evaluator who signed the evaluation being reviewed.
- (c) The official overall evaluation may only be changed by the agency reviewer(s).
- (d) A request for review must be submitted in writing and postmarked or received in the Human Resources office no later than September 15th following the evaluation year. In the request for review, the employee must explain and provide supporting documentation for the request for review.

- (e) If the request for review is timely, the agency reviewer(s) must review the employee's request, the evaluation given and any supporting documentation provided. The contested evaluation must be discussed with the employee and the evaluating supervisor.
- (f) The agency reviewer(s) shall give the employee, the evaluating supervisor, and the Human Resources office written notice of the results of their review. This notification shall be provided no later than October 15th. Any change in evaluation shall be retroactive to July 1st.
- (g) The performance evaluation form, the employee's request for review, the agency reviewer(s)' decision, and the supporting documentation attached to the performance evaluation, as well as any documents requested from the employee or supervisor during the review, shall be maintained in the employee's official personnel file or other secured performance file maintained in the Human Resources Office.

5. Request for Review by Director of Civil Service

- (a) A permanent employee who receives an overall evaluation of "Needs Improvement/Unsuccessful" following an agency review may request to have his performance file reviewed by the Director or the Director's designee.
- (b) A request for review under this rule must be postmarked or received by the Director no later than 10 calendar days following the date the employee received the agency review decision. In the request, the employee must explain why he is contesting the decision of the agency reviewer(s).
- (c) If the request for review is timely, the Director or his designee shall obtain and review the employee's performance file. The Director may either affirm the overall evaluation or change the overall evaluation to "Unrated". The Director's decision shall be final.
- (d) The Director shall provide a written decision to the employee, the evaluating supervisor, and the Human Resources Director no later than thirty (30) calendar days following the date the request for review was received.

6. Effects of the Needs Improvement/Unsuccessful Evaluation

- (a) An evaluation of "Needs Improvement/Unsuccessful" is not a disciplinary action.
- (b) Any employee whose official overall evaluation is "Needs Improvement/Unsuccessful" shall:
 - 1) Not be eligible for a performance adjustment, promotion or permanent status.
 - 2) Not be detailed to a higher level position unless approved in advance by the Director of Civil Service.
 - 3) In the event of a layoff, be laid off first.

- (c) An employee whose official overall evaluation is "Needs Improvement /Unsuccessful" may be separated or disciplined in accordance with the rules applicable to the employee's status.
- (d) Permanent employees shall have a right to request a review in accordance with the provisions of Civil Service Rules 10.11 and 10.12.

7. Performance Adjustments

After an employee has attained eligibility for and the appointing authority has granted a performance adjustment, it shall be disbursed effective October 1st of the calendar year that the performance adjustment was granted.

An employee may not retain eligibility beyond the date of disbursement.

VI. RESPONSIBILITY:

It is the responsibility of each Appointing Authority to assure compliance with this policy.

VII. EXCEPTIONS:

The Secretary may grant exceptions to this policy.

VIII. QUESTIONS:

Questions regarding this policy may be addressed to the Human Resources Director.



Scott A. Angelle
Secretary



Date